

11/05/97

JCS49 U.S. PTO



PATENT  
Atty. Docket No. HAR-001DVI  
(6615/3)



65705 U.S. PTO  
08/991628

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Strominger et al.

SERIAL NO.:

FILED: Herewith

TITLE: Identification of Self and Non-Self Antigens Implicated in Autoimmune Disease

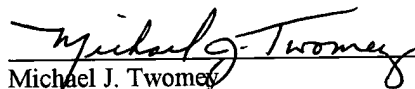
GROUP NO.: 1818  
(Prior Application)

EXAMINER: Achutamurthy, P.  
(Prior Application)

#3/Ple-A  
F.R.  
04/21/98

**CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. 1.10**

I hereby certify that the attached document is being deposited with the United States Postal Service, postage prepaid, on November 5, 1997 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service, mailing label number EM354713847US, in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

  
Michael J. Twomey

Box Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**TRANSMITTAL OF FILING UNDER 37 CFR 1.60(b)**

**WARNING:** A c-i-p (continuation-in-part) cannot be filed under 37 CFR 1.60.

**WARNING:** Filing under 37 CFR 1.60 is permitted only if filed by the same or less than all the inventors named in the prior application.

**WARNING:** The filing of an application as the United States stage of an International Application requires an oath or declaration. 37 CFR 1.61(a)(4).

**WARNING:** The claims of this new application may be finally rejected in the first Office action where all claims of the new application are drawn to the same invention claimed in the earlier application and would have been properly finally rejected on the grounds or art of record in the next office action if they had been entered in the earlier application. MPEP §706.07(b).

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This is a request for filing a

☐ Continuation

☒ Divisional

application under 37 CFR 1.60, of pending prior application serial no. 08/400,796 filed on March 7, 1995 by Jack L. Strominger and Kai W. Wucherpennig for Identification of Self and Non-Self Antigens Implicated in Autoimmune Disease

Note: 37 CFR 1.60 permits the omission of a declaration only if the prior application was complete as set forth in 37 CFR 1.51(a), namely, the prior application comprised at least (1) a specification, including a claim or claims; (2) a declaration; (3) drawings when necessary; and (4) and prescribed filing fee. Accordingly, as presently worded, 37 CFR 1.60 does not permit this procedure to be used where the prior application is pending but only the processing and retention fee required by 37 CFR 1.21(1) is paid or where the declaration was not filed.

**1. Copy of Prior Application as Filed Which is Attached**

Note: Under 37 CFR 1.60 practice signing and execution of the application by the applicant may be omitted provided the copy is supplied by and accompanied by a statement by the application or his or her attorney or agent that the application papers comprise a true copy of the prior application as filed and that no amendments referred to in the declaration filed to complete the prior application introduced new matter therein.

Note: This statement need not be verified if made by an attorney registered to practice before the PTO. (37 CFR 1.60(b)).

☒ I hereby verify that the attached papers are a true copy of what is shown in my records to be the above identified prior application, including the oath or declaration originally filed (37 CFR 1.60).

The copy of the papers of prior application as filed which are attached are as follows:

61 page(s) of specification

7 page(s) of claims

1 page(s) of abstract

1 sheet(s) of drawing

(Also complete part 7 below if drawings are to be transferred)

4 pages of declaration and power of attorney

If the copy of the declaration being filed does not show applicant's signature indicate thereon that it was signed and complete the following:

☒ in accordance with the indication required by 37 CFR 1.60(b) my records reflect that the original signed declaration showing applicant's signature was filed on May 10, 1995.

☐ the amendment referred to in the declaration filed to complete the prior application and I hereby state, in accordance with the requirements of 37 CFR 1.60(b), that this amendment did not introduce new matter therein.

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**2. Amendments****WARNING:**

"The claim of a new application may be finally rejected in the first Office action in those situations where (1) the new application is a continuing application of, or a substitute for, an earlier application, and (2) all the claims of the new application (a) are drawn to the same invention claimed in the earlier application, and (b) would have been properly finally rejected on the grounds or art of record in the next Office action if they had been entered in the earlier application." MPEP §706.07(b).

- ☒ Cancel in this application original claims 1-2, 20-21, and 23-25 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered **original** claim in the prior application.)

**NOTE:** Only amendments reducing the number of claims or adding a reference to the prior application (Rule 1.78(a)) will be entered before calculating the filing fee and granting the filing date. 37 CFR 1.60(b).

**NOTE:** "When filing under Rule 1.60 retain at least one original claim from the patent application to assure a complete application." Notice of March 3, 1986 (1064 37-38).

**3. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment**

**NOTE:** Where it is possible that the claims on file will give rise to a first action final for this continuation application and for some reason an amendment cannot be filed promptly (e.g., experimental data is being gathered) it may be desirable to file a petition for suspension of prosecution for the time necessary).

(check the next item, if applicable)

- ☐ There is provided herewith a Petition To Suspend Prosecution For The Time Necessary to File An Amendment (New Application Filed Concurrently).

**4. Information Disclosure Statement**

(check this item, if applicable)

- ☐ An Information Disclosure Statement is submitted herewith.

**5. Fee Calculation (37 CFR 1.16)**

CLAIMS AS FILED					
	Number Filed	Number Extra		Rate	Basic Fee 37 CFR 1.16(a) \$790.00
Total Claims (37 CFR 1.16 (c))	26	- 20 = 6	X	\$ 22.00	\$ 132.00
Independent Claims (37 CFR 1.16 (b))	4	- 3 = 1	X	\$ 82.00	\$ 82.00
Multiple Dependent Claim(s), If any (37 CFR 1.16(d))			+	\$ 270.00	\$ 270.00

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☒ Fee for extra claims is not being paid at this time. (37 CFR 1.16(d))

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims canceled by amendment, prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency. 37 CFR 1.16(d).

Filing Fee Calculation \$ 1,274.00

## 6. Small Entity Status

- ☐ A verified statement that this filing is by a small entity:
- ☐ is attached
- ☒ has been filed in the parent application and such status is still proper and desired (37 CFR 1.28(a))

Filing Fee Calculation (50% of above) \$ 637.00

NOTE: Any excess of the full fee paid will be refunded if a verified statement is filed within 2 months of the date of timely payment of a full fee then the excess fee paid will be refunded on request. 37 CFR 1.28(a).

NOTE: 37 CFR 1.28(a), last sentence states: "Applications filed under §1.60 or §1.62 of this part must include a reference to a verified statement in a parent application if status as a small entity is still proper and desired."

## 7. Drawings

**WARNING:** Do not check the following box if prior case is not to be abandoned.

- ☐ Transfer the drawings from the prior application to this application and, subject to item 17 below, abandon said prior application as of the filing date accorded this application. A duplicate copy of this request is enclosed for filing in the prior application file. (May only be used if signed by (1) applicant, (2) assignee of record or (3) attorney or agent of record authorized by 37 CFR 1.138 and before payment of issue fee.)

NOTE: "A registered attorney or agent acting under the provisions of §1.34(a), or of record, may also expressly abandon a prior application as of the filing date granted to a continuing application when filing such a continuing application." 37 CFR 1.138.

- ☐ Transfer the following sheet(s) of drawing from the prior application to this application \_\_\_\_.

NOTE: Transferred sheets must be canceled in prior application. 37 CFR 1.88.

- ☐ A copy of the amendment canceling these sheets of drawing in the prior application is attached.
- ☒ New drawings are enclosed
- ☐ formal
- ☒ informal

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8. Priority--35 U.S.C. 119

☐ Priority of application

serial no. 0 / filed on in is claimed under 35 U.S.C. 119.

☐ The certified copy has been filed in prior U.S. application serial no.  
0 / on .

☐ The certified copy will follow.

9. Relate Back--35 U.S.C. 120

☒ Amend the specification by inserting before the first line the sentence:

"This is a

☐ continuation

☒ divisional  
of copending applications

☒ Serial number 08/400,796 filed on March 7, 1995"

☐ International Application filed on and which designated the  
U.S."

NOTE: The proper reference to a prior filed PCT application which entered the U.S. national phase is the U.S. serial number and the filing date of the PCT application which designated the U.S.

10. Inventorship Statement

NOTE: If the continuation or divisional application is filed by less than all the inventors named in the prior application a statement must accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation or divisional application. 37 CFR 1.60(b) [emphasis added].

(complete appropriate items (a) and (b))

(a) With respect to the prior copending U.S. application from which this application claims benefit under 35 USC 120 the inventor(s) in this application is (are):

(complete applicable item below)

☒ the same

☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted:

NAMES OF INVENTORS TO BE DELETED

(Type name(s) of inventor(s) to be deleted)

(b) The inventorship for all the claims in this application are

☒ the same

☐ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

# 11. Assignment

☒ The prior application is assigned of record to President and Fellows of Harvard College

☐ an assignment of the invention to

☐ is attached.

A separate "ASSIGNMENT COVER LETTER ACCOMPANYING NEW PATENT APPLICATION" is also attached.

NOTE: "If an assignment is submitted with a new application, send two separate letters - one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).

# 12. Fee Payment Being Made At This Time

☒ Not Enclosed

☐ No filing fee is submitted. (This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently).

☐ Enclosed

☐ basic filing fee \$

☐ record assignment (\$40.00; 37 CFR 1.21.(h)) \$

☐ processing and retention fee (\$130.00; 37 CFR 1.53(d) and 1.21.(l)) \$

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 CFR 1.53(d) and this, as well as the changes to 37 CFR 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid or else the processing and retention fee of §1.21(l) must be paid within 1 year from notification under § 53(d).

Total fees enclosed \$

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16507-8231680

13. Method of Payment of Fees

- ☐ enclosed is a check in the amount of \$
- ☐ charge Account No. 20-0531 in the amount of \$  
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that is clear for which purpose the fees are paid. 37 CFR 1.22(b).

14. Authorization To Charge Additional Fees

WARNING: If no fees are being paid on filing do not complete this item.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claim charges are authorized.

- ☐ The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of the application to Account No. 20-0531.
- ☐ 37 CFR 1.16(a), (f) or (g) (filing fees)
- ☐ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims canceled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)) it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☐ 37 CFR 1.17 (application processing fees)

WARNING: While 37 CFR 1.17(a), (b), (c) and (d) deal with extensions of time under §1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 CFR 1.136(a) is to no avail unless a request or petition for extension is filed." [emphasis added]. Notice of November 5, 1985 (1060 O.G. 27).

- ☐ 37 CFR 1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 CFR 1.311(b)).

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b)).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying or at the time of paying . . . issue fee." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

15. Power of Attorney

- ☒ The power of attorney in the prior application is to

Michael J. Twomey 38,349  
Testa, Hurwitz & Thibeault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110

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- a. ☒ The power appears in the original papers in the prior application.
- b. ☐ Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
- c. ☐ A new power has been executed and is attached.
- d. ☒ Address all future communications to:

Patent Administrator  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110

(Item (d) may only be completed by applicant, or attorney or agent of record)

#### 16. Maintenance of Copendency of Prior Application

(This item must be completed and the papers filed in the prior application if the period set in the prior application has run)

- ☐ A petition, fee and response has been filed to extend the term in the pending prior application until

NOTE: The PTO finds it useful if a copy of the petition filed in the prior application extending the term for response is filed with the papers constituting the filing of the Continuation Application. Notice of November 5, 1985 (1060 O.G. 27).

#### 17. Conditional Petition for Extension of Time in Prior Application

(complete this time and file conditional petition in the prior application if previous item not applicable)

- ☐ a conditional petition for extension of time is being filed in the pending parent application.

NOTE: The PTO finds it useful if a copy of the petition filed in the prior application extending the term for response is filed with the paper constituting the filing of the continuation application. Notice of November 5, 1985 (1060 O.G. 27).

- ☐ A copy of the conditional petition for extension of time in the prior application is attached.

#### 18. Abandonment of Prior Application (if applicable)

**WARNING:** (Do not complete this item if the application being filed is divisional of the prior application which is not being abandoned)

NOTE: "A registered attorney or agent acting under the provisions of §1.34(a), or of record, may also expressly abandon a prior application as of the filing date granted to a continuing application when filing such a continuing application. 37 CFR 1.138.

- ☐ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.

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19. Notification in Parent Application of the Filing of This Continuation Application

- ☒ A notification of the filing of this continuation is being filed in the parent application from which this application claims priority under 35 USC §120.

20. Statement by Assignee (if applicable)

- ☐ In accordance with 37 CFR 3.73, I have reviewed the evidentiary documents establishing my/our ownership of the application identified herein, and certify that to the best of my/our knowledge and belief, title is with me/us who seek to take action

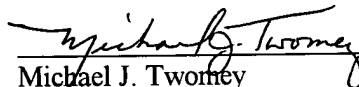
- ☐ Assignment submitted herewith for recordal

I hereby declare further that all further statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: November 5, 1997

Reg. No. 38,349

Tel. No. (617) 248-7362

  
Michael J. Twomey  
Attorney for Applicant(s)  
Testa, Hurwitz, & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, Massachusetts 02110

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